

AMENDMENTS TO THE CLAIMS

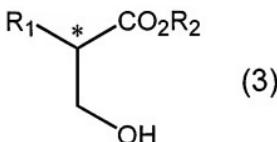
This listing of claims will replace all prior versions and listings of claims in the application:

In the Listing of Claims, all terms that were previously underlined to indicate microorganisms have now been italicized to indicate microorganisms.

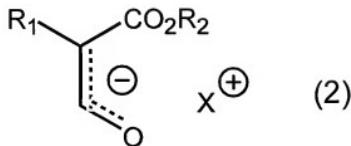
LISTING OF CLAIMS:

1.-6. (canceled).

7. (currently amended): A process for producing an optically active 3-hydroxypropionic ester derivative represented by the general formula (3):



where R₁ represents an alkyl group having 2 to 10 carbon atoms, an optionally substituted aralkyl group having 5 to 15 carbon atoms, or an optionally substituted aryl group having 5 to 15 carbon atoms; R₂ represents an alkyl group having 1 to 10 carbon atoms, or an optionally substituted aralkyl group having 5 to 15 carbon atoms; and * represents an asymmetric carbon atom, characterized by subjecting a 2-formylacetic ester derivative represented by the general formula (2):



where R_1 and R_2 are the same as described above; and X represents H, Li, Na or K,
to the action of an enzymatic source capable of stereoselectively reducing the formyl group
thereof,

wherein the R configuration of the derivative represented by the formula (3) is produced
by using an enzymatic source which is derived from a microorganism of the genus of
Brettanomyces, *Debaryomyces*, *Galactomyces*, *Ogataea*, *Pichia*, *Saccharomyopsis*,
Sporidiobolus, *Sporobolomyces*, *Sterigmatomyces*, *Torulaspora*, *Trichosporon*, *Yamadazyma*,
Achromobacter, *Cellulomonas*, *Devosia*, *Hafnia*, *Jensenia*, *Klebsiella*, *Micrococcus*, *Proteus*,
Rhodoeococcus—or *Serratia*, and capable of R-selectively reducing the formyl group of the
derivative represented by the formula (2); or

the S configuration of the derivative represented by the formula (3) is produced by using
an enzymatic source which is derived from an microorganism of the genus of *Cystofilobasidium*,
Pichia, *Rhodotorula*—*Torulaspora*, *Williopsis*, *Yarrowia*, *Devosia*, *Microbacterium*, or
Micrococcus and capable of S-selectively reducing the formyl group of the derivative
represented by the formula (2).

8. (original): The process according to claim 7 wherein in the formulas (2) and (3), R₁ is an alkyl group having 2 to 10 carbon atoms or an optionally substituted aralkyl group having 5 to 15 carbon atoms.

9. (currently amended): The process according to claim 7 or 8 wherein the R-configuration of the derivative represented by the formula (3) is produced by using, as the R-selective enzymatic source, an enzymatic source derived from a microorganism selected from the group consisting of *Brettanomyces anomalus*, *Debaryomyces nepalensis*, *Debaryomyces robertsiae*, *Galactomyces reessii*, *Ogataea minuta* var. *minuta*, *Pichia canadensis*, *Pichia silvicola*, *Pichia xylosa*, *Saccharomyopsis selenospora*, *Sporidiobolus johnsonii*, *Sporidiobolus salmonicolor*, *Sporobolomyces salmonicolor*, *Sterigmatomyces halophilus*, *Torulaspora delbrueckii*, *Trichosporon asteroids*, *Yamadazyma stipitis*, *Achromobacter xylosoxidans* subsp. *denitrificans*, *Cellulomonas fimi*, *Cellulomonas* sp., *Cellulomonas uda*, *Devosia riboflavina*, *Hafnia alvei*, *Jensenia canicurria*, *Klebsiella planticola*, *Micrococcus luteus*, *Proteus inconstans*, *Rhodococcus erythropolis*, *Rhodococcus equi*, *Rhodococcus* sp., and *Serratia marcescens*.

10. (currently amended): The process according to claim 7 or 8, wherein the R-selective enzymatic source is a cultured product of *Escherichia coli* HB101 (pNTDRG1)(FERM BP-08458), or *Escherichia coli* HB101 (pTSBG1)(FERM BP-7119), or *Escherichia coli* HB101 (pNTRS)(FERM BP-08545); or a processed product thereof.

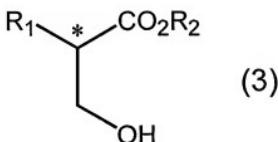
11. (currently amended): The process according to claim 7 or 8 wherein the S-configuration of the derivative represented by the formula (3) is produced by using, as the S-

selective enzymatic source, an enzymatic source derived from a microorganism selected from the group consisting of *Cystofillobasidium bisporidii*, *Pichia bispora*, *Rhodotorula glutinis* var. *glutinis*, *Torulaspora globosa*, *Williopsis saturnus* var. *mrakii*, *Williopsis saturnus* var. *saturnus*, *Yarrowia lipolytica*, *Devosia riboflavina*, *Microbacterium esteraromaticum*, and *Micrococcus luteus*.

12. (previously presented): The process according to claim 7 or 8 , wherein the S-selective enzymatic source is a cultured product of *Escherichia coli* HB101 (pNTDRG1)(FERM BP-08458), or *Escherichia coli* HB101 (pTSBG1)(FERM BP-7119); or a processed product thereof.

13.-16. (Canceled).

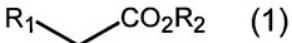
17. (currently amended): A process for producing an optically active 3-hydroxypropionic ester derivative represented by the general formula (3):



where R₁ represents an alkyl group having 2 to 10 carbon atoms, an optionally substituted aralkyl group having 5 to 15 carbon atoms, or an optionally substituted aryl group having 5 to 15 carbon atoms; and R₂ represents an alkyl group having 1 to 10 carbon atoms, or an optionally substituted aralkyl group having 5 to 15 carbon atoms;; and * represents an asymmetric carbon atom,

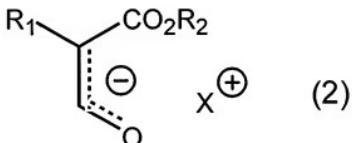
characterized by comprising the steps of:

reacting an acetic ester derivative represented by the general-formula (1):



where R₁ and R₂ are the same as described above

with a base and a formic ester, thereby converting the acetic ester derivative into a 2-formylacetic ester derivative represented by the general-formula (2):



where R₁ and R₂ are the same as described above; and X represents H, Li, Na or K;

removing impurities from the reaction mixture into an organic layer formed by addition of an organic solvent and water thereto, while transferring/dissolving the derivative represented by the general-formula (2) into a resulting aqueous layer; and

stereoselectively reducing the derivative represented by the formula (2) by use of an enzymatic source capable of stereoselectively reducing the formyl group of the derivative represented by the formula (2), thereby obtaining the optically active 3-hydroxypropionic ester derivative represented by the general-formula (3);

wherein the enzymatic source is derived from a microorganism belonging to the genus

Brettanomyces, Debaryomyces, Galactomyces, Ogataea, Pichia, Saccharomycopsis,

Sporidiobolus, Sporobolomyces, Sterigmatomyces, Torulaspora, Trichosporon, Yamadazyma, Achromobacter, Cellulomonas, Devosia, Hafnia, Jensenia, Klebsiella, Proteus, Serratia, Cystofilobasidium, Williopsis, Yarrowia, Microbacterium, or Micrococcus.

18. (original): The process according to claim 17 wherein, in the formulas (1), (2), and (3), R₁ is an alkyl group having 2 to 10 carbon atoms or an optionally substituted aralkyl group having 5 to 15 carbon atoms.

19. (original): The process according to claim 17 or 18 wherein, in the formulas (1), (2) and (3), R₂ is an alkyl group having 1 to 10 carbon atoms.

20. (canceled).

21. (currently amended): The process according to claim 20 wherein the R configuration of the derivative represented by the formula (3) is produced by using an enzymatic source which is derived from a microorganism belonging to the genus of *Brettanomyces*, *Candida*, *Cryptococcus*, *Debaryomyces*, *Galactomyces*, *Ogataea*, *Pichia*, *Rhodotorula*, *Saccharomyces*, *Sporidiobolus*, *Sporobolomyces*, *Sterigmatomyces*, *Torulaspora*, *Trichosporon*, *Yamadazyma*, *Achromobacter*, *Cellulomonas*, *Devosia*, *Hafnia*, *Jensenia*, *Klebsiella*, *Micrococcus*, *Proteus*, *Rhodococcus* or *Serratia* and capable of R-selectively reducing the formyl group of the derivative represented by the formula (2).

22. (currently amended): The process according to claim 21 wherein the enzymatic source capable of R-selective reduction is derived from a microorganism selected from the group

consisting of *Brettanomyces anomalus*, *Candida cantarellii*, *Candida glaebosa*, *Candida gropengiesseri*, *Candida lactis-condensi*, *Candida magnoriae*, *Candida maltosa*, *Candida maris*, *Candida mogii*, *Candida pini*, *Candida rugosa*, *Candida sorbophila*, *Candida tropicalis*, *Candida versatilis*, *Cryptococcus curvatus*, *Cryptococcus terreus*, *Debaryomyces nepalensis*, *Debaryomyces robertsiae*, *Galactomyces reessii*, *Ogataea minuta* var. *minuta*, *Pichia Canadensis canadensis*, *Pichia silvicola*, *Pichia xylosa*, *Rhodotorula aurantiaca*, *Rhodotorula glutinis*, *Rhodotorula graminis*, *Rhodotorula laetosa*, *Saccharomyopsis selenospora*, *Sporidiobolus johnsonii*, *Sporidiobolus salmonicolor*, *Sporobolomyces salmonicolor*, *Sterigmatomyces halophilus*, *Torulaspora delbrueckii*, *Trichosporon asteroides*, *Yamadazyma stipitis*, *Achromobacter xylosoxidans* subsp. *denitrificans*, *Cellulomonas fimi*, *Cellulomonas sp.*, *Cellulomonas uda*, *Devosia riboflavina*, *Hafnia alvei*, *Jensenia canicruria*, *Klebsiella planticola*, *Micrococcus luteus*, *Proteus inconstans*, *Rhodococcus erythropolis*, *Rhodococcus equi*, *Rhodococcus sp.* and *Serratia marcescens*.

23. (currently amended): The process according to claim 22 wherein the enzymatic source capable of R-selective reduction is a culture product of *Escherichia coli* HB101 (pNTCRG)(FERM BP-6898), *Escherichia coli* HB101 (pNTDRG1)(FERM BP-08458), *Escherichia coli* HB101 (pNTRGG1)(FERM BP-7858), or *Escherichia coli* HB101 (pTSBG1)(FERM BP-7119) or *Escherichia coli* HB101(pNTRS)(FERM BP-08545); or a processed product thereof.

24. (currently amended): The process according to claim 20 wherein the S configuration of the derivative represented by the formula (3) is produced by using an enzymatic

source which is derived from a microorganism belonging to the genus of *Candida*, *Cystofilobasidium*, *Pichia*, *Rhodotorula*, *Torulaspora*, *Williopsis*, *Yarrowia*, *Devsia*, *Microbacterium*, or *Micrococcus* and capable of S-selectively reducing the formyl group of the derivative represented by the formula (2).

25. (currently amended): The process according to claim 24 wherein the enzymatic source capable of S-selectively reducing the formyl group of the derivative represented by the formula (2) is derived from a microorganism selected from the group consisting of *Candida magnoliae*, *Cystofilobasidium bisporidii*, *Pichia bispola*, *Rhodotorula glutinis* var. *glutinis*, *Torulaspora globosa*, *Williopsis saturnus* var. *mrakii*, *Williopsis saturnus* var. *saturnus*, *Yarrowia lipolytica*, *Devsia riboflavina*, *Microbacterium esteraromaticum* and *Micrococcus luteus*.

26. (currently amended): The process according to claim 24 or 25 wherein the enzymatic source capable of S-selectively reducing the formyl group of the derivative represented by the formula (2) is a cultured product of *Escherichia coli* HB101 (pNTCRG)(FERM BP-6898), *Escherichia coli* HB101 (pNTDRG1)(FERM BP-08458), or *Escherichia coli* HB101 (pTSBG1)(FERM BP-7119); or a processed product thereof.

27. to 31. (canceled).